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*Admitted only in Maryland
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•Practice Limited to
Federal Agencies

November 4, 2002

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AJ
p#15
11-21-02

Commissioner for Patents
Washington, D.C. 20231

Hand Carry to Examiner Stephen L. Rawlings
Crystal Mall 1
Art Unit 1642

Re: U.S. Utility Patent Application
Appl. No. 09/633,364; Filed: August 7, 2000
For: **Inducing Cellular Immune Responses To Prostate Cancer Antigens**
Using Peptide and Nucleic Acid Compositions
Inventors: **FIKES et al.**
Our Ref: 2060.0110001/EKS/HCC

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fee Transmittal Form;
2. Information Disclosure Statement under 37 C.F.R. § 1.97(c);
3. PTO Form 1449 citing 52 documents;
4. A copy of each of the cited 52 documents; and
5. One return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

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NOV 13 2002

Commissioner for Patents
November 4, 2002
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Helene C. Carlson
Agent for Applicants
Registration No. 47,473

EKS/HCC/eaf
Enclosures

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

FIKES *et al.*

Appl. No. 09/633,364

Filed: August 7, 2000

For: **Inducing Cellular Immune
Responses To Prostate Cancer
Antigens Using Peptide and
Nucleic Acid Compositions**

Confirmation No. 3960

Art Unit: 1642

Examiner: Rawlings, Stephen L.

Atty. Docket: 2060.0110001/EKS/HCS

Information Disclosure Statement under 37 C.F.R. § 1.97

Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. A copy of each of these documents is provided.

The Examiner's attention is directed to the following co-pending U.S. Patent Applications, which are directed to related technical subject matter: U.S. Patent Application No. 08/591,502, filed May 20, 1996, and U.S. Patent Application No. 09/863,054, filed May 21, 2001, and are submitted herewith.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not

be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application. Please charge the fee for this filing indicated on the transmittal form, to our Deposit Account No. 19-0036.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Helene C. Carlson
Agent for Applicants
Registration No. 47,473

Date: November 4, 2002
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934
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Patent fees are subject to annual revision.

(\$)180.00

Application Number	09/633,364
Filing Date	August 7, 2000
First Named Inventor	John FIKES
Examiner Name	Rawlings, Stephen L.
Group Art Unit	1642
Attorney Docket No.	2060.0110001/EKS/HCC

#71693v1<SKGF_DC1> -fee transmittal form for fax filing on 11-4-02.wpdSKGF_DC1:71693.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

FIKES *et al.*

Appl. No. 09/633,364

Filed: August 7, 2000

For: **Inducing Cellular Immune
Responses To Prostate Cancer
Antigens Using Peptide and
Nucleic Acid Compositions**

Confirmation No. 3960

Art Unit: 1642

Examiner: Rawlings, Stephen L.

Atty. Docket:
2060.0110001/EKS/HCC/M-M

Second Supplemental Information Disclosure Statement

Director of the United States
Patent and Trademark Office
PO Box 1450
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Second Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' First Information Disclosure Statement filed herewith in connection with the above-captioned application. A copy of each document is also provided.

The Examiner is referred to the following list of related, co-pending patent applications:

U.S. Patent Application No. 08/205,713, filed March 4, 1994, inventor Grey,

10/31/2003 KDOWNING 00000001 09633364

01 FC:1806

submitted herewith as Document AT32;

180.00 GP

U.S. Patent Application No. 08/344,824, filed November 23, 1994, inventors Sette

et al., submitted herewith as Document AR33;

U.S. Patent Application No. 08/347,610, filed December 1, 1994, inventors Kubo *et al.*, submitted herewith as Document AS33;

U.S. Patent Application No. 09/017,524, filed February 3, 1998, inventors Kubo *et al.*, submitted herewith as Document AT33;

U.S. Patent Application No. 10/168,507, filed December 20, 2000, inventors Fikes *et al.*, submitted herewith as Document AR34.

The identification of these U.S. Patent Applications is not to be construed as a waiver of secrecy as to these applications now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited applications and the art cited therein during examination.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered. This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist.

This Second Supplemental Information Disclosure Statement is the second of two Supplemental Information Disclosure Statements filed on the same day. It is believed that only one fee under 37 C.F.R. § 1.17(p) is required to cover both submissions. That fee is included with the First Supplemental Information Disclosure filed herewith.

Consideration of the cited documents and making the same of record in the prosecution of the above-identified application is respectfully requested. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Helene C. Carlson
Agent for Applicants
Registration No. 47,473

Date: 7/10/03

1100 New York Avenue, N.W.
Washington, D.C. 20005-3934
(202) 371-2600

FORM PTO-1449 SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 2060.0110001/EKS/HCC/M-M	APPLICATION NO. 09/633,364
	APPLICANT FIKES et al.	
	FILING DATE August 7, 2000	GROUP 1642

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
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	AI						
	AJ1	2002/0168374 A1	11/14/2002	Kubo et al.			03/20/1997
	AK1	2002/0177694 A1	11/28/2002	Sette et al.			02/03/1998

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN4	WO 96/03140 A1	02/08/1996	WIPO			Yes No
	AO4	WO 97/04802 A1	02/13/1997	WIPO			Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>31</u>	Boon, T., "Tumor antigens recognized by cytolytic T lymphocytes: present perspectives for specific immunotherapy," <i>Int. J. Cancer</i> 54:177-180, Wiley-Liss, Inc. (May 1993)
	AS	<u>31</u>	Cotran, R.S., et al., "Neoplasia," in <i>Robbins Pathologic Basis of Disease</i> , 4 th ed., W.B. Saunders Staff, ed., W.B. Saunders Company, Philadelphia, PA, pp. 296-299 (1989)
	AT	<u>31</u>	Kawashima, I., et al., "The Multi-epitope Approach for Immunotherapy for Cancer: Identification of Several CTL Epitopes from Various Tumor-Associated Antigens Expressed on Solid Epithelial Tumors," <i>Hum. Immunol.</i> 59:1-14, Elsevier Science, Inc. (January 1998)

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449 SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 2060.0110001/EKS/HCC/M-M	APPLICATION NO. 09/633,364
	APPLICANT FIKES et al.	
	FILING DATE August 7, 2000	GROUP 1642

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2	2002/0098197 A1	04/25/2002	Sette et al.			05/30/1995
	AB						
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR	32	Knuth, A., et al., "Cellular and humoral immune responses against cancer: implications for cancer vaccines," Curr. Opin. Immunol. 3:659-664, Current Biology, Ltd. (1991)				
	AS	32	Toes, R.E.M., et al., "Enhancement of Tumor Outgrowth Through CTL Tolerization After Peptide Vaccination Is Avoided by Peptide Presentation on Dendritic Cells," J. Immunol. 160:4449-4456, The American Association of Immunologists (May 1998)				
	AT	32	Copy of co-pending U.S. application 08/205,713, inventor Grey, filed March 4, 1994 (NOT PUBLISHED).				

EXAMINER	DATE CONSIDERED
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FORM PTO-1449 <u>SECOND SUPPLEMENTAL</u> <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 2060.0110001/EKS/HCC/M-M	APPLICATION NO. 09/633,364
	APPLICANT FIKES et al.	
	FILING DATE August 7, 2000	GROUP 1642

U. S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>33</u>	Copy of co-pending U.S. application 08/344,824, inventors Sette et al., filed November 23, 1994 (NOT PUBLISHED).
	AS	<u>33</u>	Copy of co-pending U.S. application 08/347,610, inventors Kubo et al., filed December 1, 1994 (NOT PUBLISHED).
	AT	<u>33</u>	Copy of co-pending U.S. application 09/017,524, inventors Kubo et al., filed February 3, 1998 (NOT PUBLISHED).

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FORM PTO-1449 <u>SECOND SUPPLEMENTAL</u> <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 2060.0110001/EKS/HCC/M-M	APPLICATION NO. 09/633,364
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	34	Copy of co-pending U.S. application 10/168,507, inventors Fikes et al., filed December 20, 2000 (PUBLISHED AS WO 01/45728)
	AS		
	AT		

EXAMINER	DATE CONSIDERED
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FORM PTO-1449 FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT				ATTY. DOCKET NO. 2060.0110001/EKS/HCC/M-M		APPLICATION NO. 09/633,364	
				APPLICANT FIKES et al.			
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	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG1	5,200,320	04/06/1993	Sette et al.			12/07/1987
	AH1	5,503,829	04/02/1996	Ladant et al.			11/07/1994
	AI1	6,034,214	03/07/2000	Boon et al.			12/13/1994
	AJ						
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL3	EP 0 044 710 A1	01/27/1982	Europe			Yes No
	AM3	EP 0 226 513 A1	06/24/1987	Europe			Yes X No
	AN3	WO 92/02543 A1	02/20/1992	WIPO			Yes No
	AO3	WO 92/12996 A2	08/06/1992	WIPO			Yes No
	AP3	WO 92/21033 A1	11/26/1992	WIPO			Yes X No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR	13	Aichele, P., et al., "Antiviral cytotoxic T cell response induced by in vivo priming with a free synthetic peptide," <i>J. Exp. Med.</i> 171:1815-1820, Rockefeller University Press (1990)				
	AS	13	Alexander, J., et al., "Derivation of HLA-A11/K ^b Transgenic Mice. Functional CTL Repertoire and Recognition of Human A11-Restricted CTL Epitopes," <i>J. Immunol.</i> 159:4753-4761, The American Association of Immunologists (November 1997)				
	AT	13	Bergmann, C.C., et al., "Differential Effects of Flanking Residues on Presentation of Epitopes from Chimeric Peptides," <i>J. Virol.</i> 68:5306-5310, American Society for Microbiology (August 1994)				
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FOREIGN PATENT DOCUMENTS							
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	AL4	WO 93/03764 A1	03/04/1993	WIPO			Yes No
	AM4	WO 94/11738 A1	05/26/1994	WIPO			Yes X No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>14</u>	Bertoni, R., et al., "Human Histocompatibility Leukocyte Antigen-binding Supermotifs Predict Broadly Cross-reactive Cytotoxic T Lymphocyte Responses in Patients with Acute Hepatitis," <i>J. Clin. Invest.</i> 100:503-513, The American Society for Clinical Investigation, Inc. (August 1997)
	AS	<u>14</u>	Bertoni, R., et al., "Human Class I Supertypes and CTL Repertoires Extend to Chimpanzees," <i>J. Immunol.</i> 161:4447-4455, American Association of Immunologists (October 1998)
	AT	<u>14</u>	Bjorkman, P.J., et al., "Structure of the human class I histocompatibility antigen, HLA-A2," <i>Nature</i> 329:506-512, Macmillan Publishers, Ltd. (1987)

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FOREIGN PATENT DOCUMENTS							
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	AL						Yes No
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	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	15	Bjorkman, P.J., et al., "The foreign antigen binding site and T cell recognition regions of class I histocompatibility antigens," <i>Nature</i> 329:512-518, Macmillan Publishers, Ltd. (1987)
	AS	15	Buus, S., et al., "Autologous Peptides Constitutively Occupy the Antigen Binding Site on Ia," <i>Science</i> 242:1045-1047, American Association for the Advancement of Science (1988)
	AT	15	Corr, M., et al., "Endogenous Peptides of a Soluble Major Histocompatibility Complex Class I Molecule, H-2L _d : Sequence Motif, Quantitative Binding, and Molecular Modeling of the Complex," <i>J. Exp. Med.</i> 176:1681-1692, Rockefeller University Press (December 1992)

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	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>16</u>	De Bruijn, M.L.H., et al., "Peptide loading of empty major histocompatibility complex molecules on RMA-S cells allows the induction of primary cytotoxic T lymphocyte responses," <i>Eur. J. Immunol.</i> 21:2963-2970, VCH Verlagsgesellschaft mbH (1991)
	AS	<u>16</u>	Del Val, M., et al., "Efficient Processing of an Antigenic Sequence for Presentation by MHC Class I Molecules Depends on Its Neighboring Residues in the Protein," <i>Cell</i> 66:1145-1153, Cell Press (1991)
	AT	<u>16</u>	Deres, K., et al., "In vivo priming of virus-specific cytotoxic T lymphocytes with synthetic lipopeptide vaccine," <i>Nature</i> 342:561-564, Macmillan Publishers, Ltd. (1989)

EXAMINER	DATE CONSIDERED
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	17	DiBrino, M., et al., "HLA-A1 and HLA-A3 T Cell Epitopes Derived from Influenza Virus Proteins Predicted from Peptide Binding Motifs," <i>J. Immunol.</i> 151:5930-5935, The Association of Immunologists (December 1993)
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	AR	<u>18</u>	Foon, K.A., "Biological Response Modifiers: The New Immunotherapy," <i>Cancer Res.</i> 49:1621-1639, American Association for Cancer Research (1989)
	AS	<u>18</u>	Geysen, H.M., et al., "Cognitive Features of Continuous Antigenic Determinants," <i>J. Mol. Recognit.</i> 1:32-41, Heyden & Sons, Ltd. (1988)
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	19	Hill, A., et al., "Characterization of two Epstein-Barr virus epitopes restricted by HLA-B7," <i>Eur. J. Immunol.</i> 25:18-24, VCH Verlagsgesellschaft mbH (January 1995)
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>20</u>	Kannagi, M., et al., "Target Epitope in the Tax Protein of Human T-Cell Leukemia Virus Type I Recognized by Class I Major Histocompatibility Complex-Restricted Cells," <i>J. Virol.</i> 66:2928-2933, American Society for Microbiology (May 1992)
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AR	21	Lipford, G.B., et al., "Primary in Vivo Responses to Ovalbumin. Probing the Predictive Value of the K ^b Binding Motif," <i>J. Immunol.</i> 150:1212-1222, The American Association of Immunologists (February 1993)	
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	AR	22	Niedermann, G., et al., "The proteolytic fragments generated by vertebrate proteosomes: Structural relationships to major histocompatibility complex class I binding peptides," <i>Proc. Natl. Acad. Sci. USA</i> 93:8572-8577, National Academy Press (August 1996)
	AS	22	Ochoa-Garay, J., et al., "The ability of peptides to induce cytotoxic T cells in vitro does not strongly correlate with their affinity for the H-2L ^d molecule: implications for vaccine design and immunotherapy," <i>Mol. Immunol.</i> 34:273-281, Elsevier Science, Ltd. (February 1997)
	AT	22	Pamer, E.G., et al., "Precise prediction of a dominant class I MHC-restricted epitome of <i>Listeria monocytogenes</i> ," <i>Nature</i> 353:852-855, Macmillan Publishers, Ltd. (1991)

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	AR	<u>23</u>	Parham, P., et al., "The Origins of HLA-A,B,C Polymorphism," <i>Immunol. Rev.</i> 143:141-180, Munksgaard (February 1995)
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	AR	24	Röttschke, O., et al., "Isolation and analysis of naturally processed viral peptides as recognized by cytotoxic T cells," <i>Nature</i> 348:252-254, Macmillan Publishers, Ltd. (1990)
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	AR	26	Schulz, M., et al., "Major histocompatibility complex binding and T cell recognition of a viral nonapeptide containing a minimal tetrapeptide," <i>Eur. J. Immunol.</i> 21:1181-1185, VCH Verlagsgesellschaft mbH (1991)
	AS	26	Sette, A., et al., "Prediction of major histocompatibility complex binding regions of protein antigens by sequence pattern analysis," <i>Proc. Natl. Acad. Sci. USA</i> 86:3296-3300, National Academy Press (1989)
	AT	26	Sette, A., et al., "The Relationship Between Class I Binding Affinity and Immunogenicity of Potential Cytotoxic T Cell Epitopes," <i>J. Immunol.</i> 153:5586-5592, The American Association of Immunologists (December 1994)

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	AR	<u>27</u>	Shastri, N., et al., "Presentation of Endogenous Peptide/MHC Class I Complexes Is Profoundly Influenced by Specific C-Terminal Flanking Residues," <i>J. Immunol.</i> 155: 4339-4346, The American Association of Immunologists (November 1995)
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	AT	<u>27</u>	Sidney, J., et al., "Several HLA Alleles Share Overlapping Peptide Specificities," <i>J. Immunol.</i> 154:247-259, The American Association of Immunologists (January 1995)

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	AR	28	Threlkeld, S.C., et al., "Degenerate and Promiscuous Recognition by CTL of Peptides Presented by the MHC Class I A3-like Superfamily. Implications for Vaccine Development," <i>J. Immunol.</i> 159:1648-1657, The American Association of Immunologists (August 1997)
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	AR	<u>29</u>	Yewdell, J.W., and Bennink, J.R., "Cell Biology of Antigen Processing and Presentation to Major Histocompatibility Complex Class I Molecule-Restricted T Lymphocytes," <i>Adv. Immunol.</i> 52:1-123, Academic Press (July 1992)
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	AT	<u>29</u>	Parker, K.C., et al., "Scheme for Ranking Potential HLA-A2 Binding Peptides Based on Independent Binding of Individual Peptide Side-Chains," <i>J. Immunol.</i> 152:163-175, The American Association of Immunologists (January 1994)

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	AR	30	Dialog File 351, Accession No. 7180926, Derwent WPI English language abstract for EP 0 226 513.
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